

FORM PTO-1390  
(REV 10-97)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

SONYJP 3.3-064

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**09/445085**INTERNATIONAL APPLICATION NO.  
PCT/JP99/01757INTERNATIONAL FILING DATE  
April 2, 1999PRIORITY DATE CLAIMED  
April 3, 1998

**TITLE OF INVENTION**  
**DATA RECEIVING DEVICE AND DATA RECEIVING METHOD**

**APPLICANT(S) FOR DO/EO/US**  
Katsutoshi SAKAO, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)). (w/Copy of PCT Request)
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (Executed)
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. W/PTO-1449, 4 references
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

Communication re: Filing Date  
Copy of International Search Report (in English)  
Twenty-One (21) Sheets of Formal Drawings

EXPRESS MAIL LABEL NO. EL408440446USDATE: December 2, 1999

09/445085

PCT/JP99/01757

02 DEC 1999

SONY JP 3.3-064

17. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):

Search Report has been prepared by the EPO or JPO ..... \$840.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... \$670.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... \$760.00

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$970.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

\$ 840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	46 - 20 =	26	X \$18.00
Independent claims	7 - 3 =	4	X \$78.00

\$ 468.00

\$ 312.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ \$260.00

\$

TOTAL OF ABOVE CALCULATIONS =

\$ 1,620.00

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

\$

SUBTOTAL =

\$ 1,620.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$ 1,620.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

SEE RECORDATION COVER SHEET

TOTAL FEES ENCLOSED =

\$ 1,620.00

Amount to be:	\$
refunded	
charged	\$

a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.b. ☒ Please charge my Deposit Account No. 12-1095 in the amount of \$ 1,620.00 to cover the above fees. A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 12-1095. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

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SIGNATURE:

ROBERT B. COHEN

NAME

32,768

REGISTRATION NUMBER

In re patent application of:  
Katsutoshi SAKAO, et al.

Group Art Unit:

Serial No.

Filed: Herewith

Examiner:

Based on PCT/JP99/01757

For: DATA RECEIVING DEVICE AND  
DATA RECEIVING METHOD

December 2, 1999

Assistant Commissioner for Patents  
Washington, DC 20231  
Box PCT

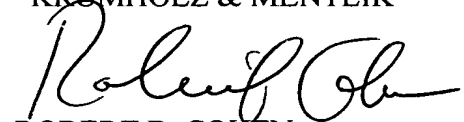
COMMUNICATION RE FILING DATE

Sir:

The filing date of the International application is April 2, 1999. In this regard, it is noted that the filing date of the International application is indicated on the Declaration as 02/04/99 which could inadvertently be mistaken for February 4, 1999. The date should have been typed on the Declaration as 02.04.99.

Respectfully submitted,

LERNER, DAVID, LITTENBERG,  
KRUMHOLZ & MENTLIK



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